ABSTRACT

A data processing system and method manages broker transaction information in compliance with Securities Exchange Commission record keeping requirements utilizing electronic data transmission, thus eliminating problems associated with paper logs, or easily alterable

5   databases. Data is entered into the system through remote client workstations, stored in local tables until a user performs a data transmission function to a main database server. The data is transmitted and stored in the main database server enabling multiple off-site users to view and/or modify data and generate the necessary reports. The data processing

10   system transmits data via a secured environment through encryption/ decryption. The data processing system produces an electronic audit trail of modifications made to the recorded data. Security measures are provided to prevent unauthorized tampering of trade records.